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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/704,054	11/01/2000	Robert D'Amato	43170-249244	3798

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JONES DAY  
222 EAST 41ST ST  
NEW YORK, NY 10017

EXAMINER
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ANDERSON, JAMES D

ART UNIT	PAPER NUMBER
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1614

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	01/19/2007	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/704,054	D'AMATO, ROBERT	
	<b>Examiner</b>	<b>Art Unit</b>	
	James D. Anderson	1614	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 07 August 2006.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 23,25-31 and 33-71 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 23,25-31 and 33-71 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 07 August 2006 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

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### **DETAILED ACTION**

Applicants' arguments, filed 8/7/2006, have been fully considered but they are not deemed to be persuasive. Rejections and/or objections not reiterated from previous Office Actions are hereby withdrawn. The following rejections and/or objections are either reiterated or newly applied. They constitute the complete set presently being applied to the instant application.

#### ***Status of the Claims***

Claims 23, 25-31 and 33-71 are currently pending and are the subject of this Office Action. Claims 23, 34, 41-42 and 49-50 are presently amended and claim 71 is newly presented.

#### ***Change of Examiner***

The examiner assigned to the instant case has changed. The new examiner is James D. Anderson, Ph.D. Contact information is provided at the end of this Office Action.

#### ***Priority***

This instant application is a division of U.S. Non-Provisional Application No. 09/545,139, filed 4/7/2000, now U.S. Patent No. 6,469,045, issued 10/22/2002, which is a division of U.S. Non-Provisional Application No. 08/950,673, filed 10/16/1997, now U.S. Patent No. 6,071,948, issued 6/6/2000, which is a continuation of U.S. Non-Provisional Application No. 08/468,792, filed 6/6/1995, now U.S. Patent No. 5,712,291, issued 1/27/1998, which is a continuation of U.S. Non-Provisional Application No. 08/168,817, filed 12/15/1993, now U.S.

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Patent No. 5,629,327, issued 5/13/1997, which is a continuation-in-part of U.S. Non-Provisional Application No. 08/025,046, filed 3/1/1993, now abandoned.

Support for the instant claims was found in U.S. Non-Provisional Application No. 08/025,046, filed 3/1/1993. As such, the earliest effective U.S. filing date afforded the instant claims has been determined to be March 1, 1993.

### ***Terminal Disclaimers***

Terminal Disclaimers have been filed and approved against U.S. Patent Nos. 5,629,327 and 6,235,756.

### ***Drawings***

The replacement drawings were received on 8/7/2006.

The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they include the following reference character(s) not mentioned in the description: the newly added designations of the structures (e.g. A, B, C, etc.) are not described in the specification. Corrected drawing sheets in compliance with 37 CFR 1.121(d), or amendment to the specification to add the reference character(s) in the description in compliance with 37 CFR 1.121(b) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the

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applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

***Claim Rejections - 35 USC § 112 (1<sup>st</sup> Paragraph)***

The following is a quotation of the first paragraph of 35 U.S.C. § 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 23, 25-31 and 33-71 are rejected under 35 U.S.C. § 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter, which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

To be enabling, the specification of the patent application must teach those skilled in the art how to make and use the full scope of the claimed invention without undue experimentation. *In re Wright*, 999 F.2d 1557, 1561 (Fd. Cir. 1993). Explaining what is meant by “undue experimentation,” the Federal Circuit has stated that:

The test is not merely quantitative, since a considerable amount of experimentation is permissible, if it is merely routine, or if the specification in question provides a reasonable amount of guidance with respect to the direction in which experimentation should proceed to enable the determination of how to practice a desired embodiment of the claimed invention. *PPG v. Guardian*, 75 F.3d 1558, 1564 (Fed. Cir. 1996).<sup>1</sup>

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<sup>1</sup> As pointed out by the court in *In re Angstadt*, 537 F.2d 498 at 504 (CCPA 1976), the key word is “undue”, not “experimentation”.

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The factors that may be considered in determining whether a disclosure would require undue experimentation are set forth by *In re Wands*, 8 USPQ2d 1400 (CAFC 1988) at 1404 wherein, citing *Ex parte Forman*, 230 USPQ 546 (BdApls 1986) at 547 the court recited eight factors:

- 1) the quantity of experimentation necessary,
- 2) the amount of direction or guidance provided,
- 3) the presence or absence of working examples,
- 4) the nature of the invention,
- 5) the state of the prior art,
- 6) the relative skill of those in the art,
- 7) the predictability of the art, and
- 8) The breadth of the claims.

These factors are always applied against the background understanding that scope of enablement varies inversely with the degree of unpredictability involved. *In re Fisher*, 57 CCPA 1099, 1108, 427 F.2d 833, 839, 166 USPQ 18, 24 (1970). Keeping that in mind, the *Wands* factors are relevant to the instant fact situation for the following reasons:

1. The nature of the invention, state and predictability of the art, and relative skill of those in the art

The invention relates to inhibiting the formation or growth of tumors in humans comprising the administration of thalidomide. The relative skill of those in the art is high,

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generally that of an M.D. or Ph.D. That factor is outweighed, however, by the unpredictable nature of the art. As illustrative of the state of the art, the examiner cites Bach *et al.* (Acta Path., 1963, 59:491-499) (cited by applicant), Gutman *et al.* (Anticancer Research, 1996, 16:3673-3678), DiPaolo (Cancer Chemotherapy Reports, 1963, 29:99-102) (cited by applicant), Thomas *et al.* (Current Opinion in Oncology, 2000, 12:564-573) and Grabstald *et al.* (Clinical Pharmacology and Therapeutics, 1965, 6:298-302) (cited by applicant). All references are cited for evidentiary purposes only.

Bach *et al.* studied the possible antineoplastic effect of thalidomide in experimental mouse models. The reference also discusses a report in which a woman with an X-ray resistant pelvic tumors was treated with thalidomide (400 mg daily). The tumors increased in size during the treatment. Bach *et al.* transplanted NJA tumors (a transplantable leukemia) and PBH tumors (an adenocarcinoma) in mice (page 494). The mice were then treated with varying doses (11.2, 112.0, 560.0 and 1120.0 mg/kg) of thalidomide (page 495). In mice with PBH tumors, all thalidomide treated mice died before controls (pages 496-497). In the NJA implanted mice, there was no significant effect of thalidomide on the survival times of the animals. Further, histological exam revealed no difference with regard to the extent of the leukemic infiltrations in the organs between treated and untreated mice (pages 496-497). The authors conclude that thalidomide had no antineoplastic effect (page 498).

Gutman *et al.* tested the efficacy of thalidomide in treating solid tumors in mice (Abstract). B16-F10 (melanoma) and CT-26 (colon carcinoma) cells were injected in mice and the mice then received 0.3-1.0 mg thalidomide (*id.*). There was no growth retardation in CT-26 bearing mice or in mice with pulmonary or peritoneal metastases of B16-F10 melanoma (*id.*).

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All tumors reached maximum size, similar to controls. Further, morphological exam revealed that in both thalidomide and control groups, all mice had developed an intact network of new blood vessels (*id.*). In conclusion, the authors report that the present study did not demonstrate a sustained, reproducible, anti-angiogenic effect of thalidomide in solid tumors growing in mice (page 3676).

DiPaolo also studied the effects of thalidomide in treating standard rat and mouse tumors, including adenocarcinoma, Ehrlich ascites, leukemia, sarcoma, Murphy-Sturm, lymphosarcoma and Walker 256 (Table 1). The daily dose of thalidomide was 500 mg/kg (*id.*). Based on the results of this study, DiPaolo concludes, “thalidomide is ineffective against transplantable cancers” (page 102).

Thus, in three separate studies, thalidomide was ineffective in inhibiting tumor growth in mouse models of cancer. Given this information, the skilled artisan would not expect thalidomide to be effective in treating tumors in humans.

Grabstald *et al.* is cited as evidence to support the unpredictability of treating tumors in humans using thalidomide. In fact, applicant admits that Grabstald *et al.* teach away from the present invention (see Response filed January 27, 2005). The reference teaches that thalidomide was administered to 71 patients with a wide spectrum of cancers (Abstract). There was no evidence of an objective response in any cancer except one patient with renal cell cancer (*id.* and page 301). The authors conclude, “further random trials of this [thalidomide] drug against cancer in man are not indicated” (page 301).

Thomas *et al.* provides a review of the current role of thalidomide in cancer treatment. Although the article will not be discussed in detail, several points are pertinent to the present



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rejection. Firstly, the article states that the first oncology studies of thalidomide were reported in 1965 (Grabstald *et al.*, cited *supra*). Further, another study of 21 patients with various solid tumors who were treated with thalidomide revealed no tumor regressions (page 564). Secondly, several clinical trials of thalidomide have been carried out (pages 566-569). Thalidomide has shown moderate effects in some cancers (gliomas – 2/36 patients had partial response, 2/36 patients had a minor response, and 12/36 had stable disease; Kaposi's sarcoma – 6/17 patients had a partial response, 8/17 patients withdrew from toxicity; renal cell carcinoma – 3/18 patients had partial response) (pages 566-567). However, there were no objective tumor responses in 63 patients with metastatic prostate cancer, no objective responses in 17 patients with melanoma, no objective responses in 12 patients with breast cancer or 19 patients with ovarian carcinoma, and no objective tumor responses in 17 patients with metastatic squamous cell carcinoma of the head and neck (in fact, 94% of patients had progressive disease) (pages 567-568). Thirdly, a summary of FDA new drug applications issued for thalidomide between 1997 and 1998 yielded data on 480 patients treated for breast, CNS, prostate, skin, colon, pancreas and kidney malignancies. Thalidomide was given in doses up to 2400 mg daily. Responses were observed in 36 patients (7.5%), 10 of who had received combination therapy (*i.e.* not thalidomide alone), whereas 53% of patients discontinued therapy because of toxicity (page 568). Thus, it is clear that the treatment of tumors in humans with thalidomide is extremely unpredictable and in the majority of cases completely ineffective.

Applicants own admissions provide further evidence that the treatment of tumors in humans with thalidomide is unpredictable. For example, in applicant's response filed 8/7/2006, applicant submitted that 19 references "indicate that thalidomide was not successful in inhibiting

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tumors in animals and humans” (page 16 of response filed 8/7/2006). Further, applicant states (emphasis added), “Moreover, Applicant respectfully points out that several references actually teach that **thalidomide has cancer-promoting or carcinogenic activity**” (*id.*). Further still, applicant states (emphasis added), “The references disclose **not only failure** but the **complete opposite effect** to the claimed invention” (*id.*). Applicant goes on to cite several studies wherein thalidomide was administered to humans with various tumors. Applicant concludes, “Again, all of these studies failed to provide any promise for thalidomide as effective in inhibiting the formation or growth of tumors in humans. The studies neither provide with any suggestion, nor a reasonable expectation of success in inhibiting tumors in humans” (*id.* at page 17). Thus, it is clear that thalidomide may actually promote cancer in some instances and in fact have the opposite effect to that instantly claimed.

Thus, a preponderance of evidence suggests that treating tumors with thalidomide, particularly in humans, is extremely unpredictable and in most cases ineffective. Further, it is evident that thalidomide may actually have the complete opposite effect than those instantly.

2. The breadth of the claims

The claims vary in breadth; some (such as claim 23) vary broadly, reciting the treatment of any and all tumors (both benign and cancerous) with thalidomide. Others, such as claim 34, are narrower, reciting specific tumors. All, however, are extremely broad insofar as they disclose the general treatment of tumors with thalidomide.

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3. The amount of direction or guidance provided and the presence or absence of working examples

The specification provides no direction or guidance for determining the particular administration regimes (*e.g.* dosages, timing, administration routes, etc.) necessary to treat all of the various tumors claimed, particularly in humans. The working examples are limited to demonstrating the anti-angiogenic activity of thalidomide in animal models of angiogenesis. While angiogenesis is one factor involved in tumor growth, there are many other factors that influence tumor growth. As such, the fact that thalidomide inhibits angiogenesis does not reasonably suggest that it will be effective in inhibiting tumor growth. In fact, as discussed *supra*, the prior art supports the idea that thalidomide is ineffective in inhibiting tumor growth in humans. Thus, the applicant at best has provided specific direction or guidance only for the inhibition of angiogenesis with thalidomide. Although broad doses and administration routes of thalidomide are described in the specification, these doses and administration routes are contemplated to be useful for the treatment of any all angiogenic-related conditions. No reasonably specific guidance is provided concerning useful therapeutic protocols for any specific conditions or diseases, including the treatment of tumors. Further, although many different conditions related to angiogenesis are contemplated to be treatable with thalidomide, applicant has not provided any guidance on how one would specifically treat any particular disease or condition. Further still, there are no *in vitro* or *in vivo* experimental models of any diseases described, including cell proliferation or animal tumor models. While the administration routes disclosed in the specification are standard routes of administration for therapeutic agents, applicant has provided no specific administration regimens (*e.g.* timing, specific doses, etc.) necessary to treat

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any specific tumor. Further, while applicant recites a broad dose range (0.1 to 300 mg/kg/day), this dose range is not reasonably specific enough so as to provide adequate guidance to the skilled artisan in the treatment of tumors.

4. The quantity of experimentation necessary

Because of the known unpredictability of the art (as discussed *supra*) and in the absence of experimental evidence commensurate in scope with the claims, the skilled artisan would not accept the assertion that thalidomide could be predictably used as a treatment for tumors as inferred in the claims and contemplated by the specification. A preponderance of the evidence suggests that thalidomide is ineffective in treating tumors in humans. Accordingly, the instant claims do not comply with the enablement requirement of 35 U.S.C. § 112, first paragraph, since to practice the claimed invention a person of ordinary skill in the art would have to engage in undue experimentation, with no assurance of success.

***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. § 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 23, 25-30, 33-39, 41-47, 58 and 67-71 are rejected under 35 U.S.C. § 102(b) as being anticipated by Grabstald *et al.* (Clinical Pharmacology and Therapeutics, 1965, 6:298-302) (prior art of record).

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The instant claims recite a method for inhibiting the formation or growth of tumors in a human comprising administering an effective amount of thalidomide. Dependent claim 27 recites doses of 0.1 to 300 mg/kg/day.

Grabstald *et al.* teach that thalidomide was used as a screening agent in the treatment of 71 patients with a wide spectrum of cancers (Abstract). Cancers being treated are shown in Table 1 (page 299), including the instantly recited breast cancer. Thalidomide was administered at varying doses. Series A received 400 mg three times daily during the day and 800 mg at night (2.0 g/day) (page 299). In another group (Series B), patients received 400 mg four times daily (1.6 g/day) (*id.*). The last group of patients (Series C) received between 300 and 900 mg daily (*id.*). Taking an average human weight of 70 kg, the patients were administered between 4.3 and 28.6 mg/kg/day. These doses are within the ranges instantly claimed. One patient with endometrial carcinoma did not show any apparent progression of the disease for several months during treatment (page 301). In Series C, 1 of 30 patients (a patient with renal cell carcinoma) demonstrated objective benefit related to the administration of thalidomide (*id.*). Thus, the reference teaches identical method steps to those instantly claimed, namely administration of thalidomide to humans to inhibit the growth of tumors. The patients were administered doses of thalidomide that anticipate the instantly claimed dose ranges.

Thus, Grabstald *et al.* anticipate the instantly claimed methods of inhibiting the growth of tumors in a human comprising administering thalidomide.

### ***Double Patenting***

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the “right to exclude” granted by a patent and to prevent possible

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harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

Claims 23, 25-29, 31, 33-40, 58-62, 67-68 and 71 are provisionally rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 25-46 of copending Application No. 11/096,155. Although the conflicting claims are not identical, they are not patentably distinct from each other because both the instant claims and the claims of the '155 application recite the treatment of tumors comprising administering thalidomide.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to James D. Anderson whose telephone number is 571-272-9038. The examiner can normally be reached on MON-FRI 9:00 am - 5:00 pm EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ardin Marschel can be reached on 571-272-0718. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



James D. Anderson, Ph.D.  
Patent Examiner  
AU 1614

January 3, 2007



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